Notices regarding the solicitation “FY 2017 Forensic DNA Laboratory Efficiency Improvement and Capacity Enhancement Program”

February 6, 2017: State Single Point of Contact information link has changed. An applicant may now find the names and addresses of State Single Points of Contact (SPOCs) at the following website: https://ojp.gov/funding/Apply/Resources/eo12372spoc.pdf

January 25, 2017: A recorded webinar has been posted. To assist applicants in completing their proposals, NIJ held a webinar related to this solicitation. The recording of the webinar has been posted at https://nij.gov/multimedia/Pages/video-fy17-funding-opportunities-for-publicly-funded-crime-labs-webinar.aspx.

January 18, 2017: Answers to questions have been posted. To assist applicants in completing their proposals, NIJ has made the answers to questions received available for this funding opportunity. Visit http://nij.gov/funding/pages/solicitation-qa.aspx#NIJ-2017-11581 for questions and answers to help prepare your application.

The original solicitation document begins on the next page.

U.S. Department of Justice
Office of Justice Programs
National Institute of Justice

OMB No. 1121-0329
Approval Expires 12/31/2018

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is seeking applications from forensic DNA laboratories for funding to improve efficiency and enhance capacity through the **FY 2017 Forensic DNA Laboratory Efficiency Improvement and Capacity Enhancement Program**. This program furthers the Department's mission by assisting existing crime laboratories that conduct multidisciplinary forensic analysis, including DNA, to reduce the number of items awaiting analysis to ultimately solve crimes and thereby help to increase public safety in the United States.

FY 2017 Forensic DNA Laboratory Efficiency Improvement and Capacity Enhancement Program

Applications Due: March 13, 2017

Eligibility

Eligible applicants are States[1] and units of local government with existing crime laboratories that conduct forensic DNA and/or DNA database sample analysis and:

- Participate in external audits, not less than once every two years, that demonstrate compliance with the requirements of the Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.
- Are accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community.
- Participate in the National DNA Index System (NDIS), or have an agreement with an NDIS participating laboratory to upload their data.

Applicants also should be aware of the cost sharing or matching requirement for applications submitted under Purpose Area 2,[2] which the solicitation describes under Section A. Program Description. In order for an applicant to be eligible to receive an award under Purpose Area 2 of this solicitation, its application must demonstrate that a minimum of 25% of the total project costs under an award will be funded with non-federal funds.

NIJ welcomes applications under which two or more entities would carry out the federal award; however, only one eligible entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").[3] The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the

[1] For purposes of this solicitation, the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, and the U.S. territories of American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands.
[2] This solicitation has four purpose areas.
[3] For additional information on subawards, see "Budget and Associated Documentation" under Section D. Application and Submission Information.

entire project. Under this solicitation, any particular applicant entity may submit more than one application (as detailed further below), as long as each application proposes a different project in response to the solicitation. Also an entity may be proposed as a subrecipient ("subgrantee") in more than one application. See the "Purpose Areas" discussion and purpose area descriptions under Section A. Program Description.

NIJ may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due by 11:59 p.m. eastern time on March 13, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this Important Notice: Applying for Grants in Grants.gov.

For additional information, see How to Apply in Section D. Application and Submission Information.

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the NIJ contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under "Experiencing Unforeseen Grants.gov Technical Issues" in the How to Apply section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; fax to 301-240-5830; or web chat at https://webcontact.ncjrs.gov/ncjchat/chat.jsp. The NCJRS Response Center operates from 10:00 a.m. until 6:00 p.m. eastern time, Monday through Friday, and from 10:00 a.m. until 8:00 p.m. Eastern Time on the solicitation close date. General information on applying for NIJ awards can be found at www.nij.gov/funding/Pages/welcome.aspx. Answers to frequently asked questions that may assist applicants are posted at www.nij.gov/funding/Pages/faqs.aspx.

Grants.gov number assigned to this solicitation: NIJ-2017-11581

Release date: January 11, 2017

Contents

A. Program Description 4
Overview 4
Project-Specific Information 5
Goals, Objectives, and Deliverables 5
Evidence-Based Programs or Practices 12
B. Federal Award Information 12
Type of Award 12
Financial Management and System of Internal Controls 13
Budget Information 13
Cost Sharing or Match Requirement (Purpose Areas 1, 3, and 4 only) 16
Cost Sharing or Match Requirement (cash only) (Purpose Area 2 only) 16
Pre-Agreement Costs (also known as Pre-award Costs) 17
Limitation on Use of Award Funds for Employee Compensation; Waiver 17
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs 18
Costs Associated with Language Assistance (if applicable) 18
C. Eligibility Information 18
D. Application and Submission Information 18
What an Application Should Include 18
Performance Measures 22
How to Apply 30
E. Application Review Information 33
Review Criteria 33
Review Process 36
F. Federal Award Administration Information 38
Federal Award Notices 38
Administrative, National Policy, and Other Legal Requirements 38
General Information about Post-Federal Award Reporting Requirements 39
G. Federal Awarding Agency Contact(s) 40
H. Other Information 40
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) 40
Provide Feedback to OJP 40
Application Checklist 42

FY 2017 Forensic DNA Laboratory Efficiency Improvement and Capacity Enhancement Program

CFDA No. 16.741

A. Program Description

Overview

Demands for forensic DNA analysis have increased every year from 2009 to 2014, with a 28 percent increase in cases submitted to forensic DNA laboratories from 2009 to 2014.[4] The growing demand for DNA testing comes from two primary sources: (1) improved analysis techniques that have led to the recovery of DNA profiles from items of evidence from which it was not previously possible to retrieve such profiles, and (2) the increased collection and processing of DNA from crime scenes; victims of sexual assault; reference and elimination samples; arrestee and convicted offender samples as required by applicable State laws; unidentified human remains; cold case investigations; and postconviction relief efforts.

Often, a single case submission includes requests for forensic analyses in DNA ***and*** non-DNA disciplines. Enhancing capacity and improving efficiency in the processing and testing of non-DNA evidence from cases that also involve a request for DNA analysis will ultimately reduce the backlog of DNA evidence. NIJ's DNA Capacity Enhancement and Backlog Reduction (CEBR) program does not permit the use of funds for non-DNA disciplines. The Forensic DNA Laboratory Efficiency Improvement and Capacity Enhancement (EI&CE) program is intended to help address that gap.

The EI&CE program awards funding to eligible entities, ***through a competitive application process***, with two (2) program objectives:

1. ***Enhancing the capacity and increasing the efficiency*** of crime laboratories to process, record, screen, and analyze DNA and other forensic evidence; and

2. ***Decreasing the turnaround time*** to process and analyze DNA evidence.

Statutory Authority: Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2017. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution"; no full-year appropriation for the Department has been enacted for FY 2017.

[4] Durose, Matthew R. and Andrea M. Burch. "Publicly Funded Forensic Crime Laboratories: Resources and Services, 2014." *Bureau of Justice Statistics*. November 2016. https://www.bjs.gov/content/pub/pdf/pffclrs14.pdf.

Project-Specific Information

The following requirements apply to all DNA analyses conducted under this program:

- Applicants must ensure that all eligible DNA profiles obtained with funding from this program are entered into the FBI's CODIS database and, where applicable, are uploaded into NDIS.[5] No profiles generated with funding from this program may be entered into any non-governmental DNA database without prior express written approval from NIJ.

- Applicants must ensure that all profiles uploaded to NDIS[6] follow NDIS DNA Data Acceptance Standards.

- Applicants must ensure that each DNA analysis conducted and resulting profile generated under this program is maintained pursuant to all applicable federal privacy requirements, including those described in 42 U.S.C. § 14132(b)(3).

- Rapid DNA technologies must comply with applicable laws and follow the regulations identified by the FBI.[7]

Goals, Objectives, and Deliverables

The central goal of NIJ's FY 2017 EI&CE program is to assist eligible crime laboratories in substantially increasing laboratory capacity through a well-defined project. The EI&CE program objectives of increasing efficiency and decreasing turnaround time for DNA evidence processing to help laboratories to reduce the number of DNA samples awaiting analysis will be assisted by mechanisms to improve overall laboratory efficiency which will, in turn, help prevent future accumulations of samples awaiting analysis.

Projects are to align with one of four purpose areas:

1. Multidisciplinary analysis of evidence.

2. Building and improving laboratory infrastructure.

3. Implementation and validation of process efficiency projects.

4. Special projects.

The EI&CE program is designed to support projects that significantly enhance capacity and improve efficiency of laboratories that perform multidisciplinary forensic testing, including DNA analysis. The applicant must propose a fully developed, self-contained project, and not simply propose a supplement to the activities funded through NIJ's DNA CEBR program, the Paul Coverdell Forensic Science Improvement Grant ("Coverdell") program, or the Research and Evaluation for the Testing and Interpretation of Physical Evidence in Publicly Funded Forensic Laboratories ("R&E for Public Labs") program.

[5] https://www.fbi.gov/services/laboratory/biometric-analysis/codis/codis-and-ndis-fact-sheet.
[6] https://www.fbi.gov/services/laboratory/biometric-analysis/codis/codis-and-ndis-fact-sheet.
[7] https://www.fbi.gov/services/laboratory/biometric-analysis/codis/rapid-dna-analysis.

Applications should be project-oriented, and goals and deliverables should be project-specific. The applicant must adequately convey how the proposed project will advance the goals and objectives of this program through the selected purpose area. All projects must identify how the proposed activities will improve DNA evidence processing capacity, efficiency, and turnaround time.

Agencies that receive EI&CE funding will be required to report their progress to NIJ, including relevant and appropriate metric data.

Non-supplanting: This program is to assist crime laboratories by defraying costs — successful applicants will be expected to provide assurances, as a condition of receiving grant funds under this program, that the funds will be used to supplement, not supplant, funds that would otherwise be available for the purposes described in this solicitation. NIJ will include grant special conditions to this effect in any award made from this solicitation.

Purpose Areas: Applicants are encouraged to propose innovative and creative projects that address the goals of the EI&CE program. There are four purpose areas under which an application may be submitted. Applications are expected to clearly identify the purpose area under which funds are requested. **An applicant may submit more than one application under this program, but may submit only one application per purpose area.**

Purpose Area 1: Multidisciplinary Analysis of Evidence

Competition ID: NIJ-2017-12100

As part of a case submission, forensic laboratories often receive requests to test evidence that requires multidisciplinary analysis. The case submission can include a request for DNA analysis, but also may include items of evidence that require additional types of forensic analysis such as firearms and other weapons, the presence of friction ridge impressions, various types of trace evidence, and toxicological analysis for drugs and poisons.

Evidence items from a single case can provide information from a variety of forensic analyses, but particular attention is often given to DNA analyses without consideration of any other forensic disciplines. Sometimes one item of evidence must proceed through two or more types of forensic analyses before DNA analysis can occur; without support for non-DNA testing, critical information that might have been gathered from other forensic analyses may be missed when court demands push the evidence to DNA analysis without completion of non-DNA analysis, or the case may be stuck in a bottleneck of potential DNA evidence related cases backlogged in another section of a laboratory. Therefore, providing assistance to other forensic disciplines in the laboratory may help to decrease the turnaround time of analysis of an entire case, thus providing the requesting agency results of the analyses much faster, and it may provide the opportunity for higher-quality results.

The objective of this purpose area is to provide assistance to laboratories to complete entire cases that involve requests for both DNA and at least one other type of forensic analysis. Projects may include, but are not limited to, assistance in the non-DNA disciplines as they overlap with and affect DNA analysis and processing.

Projects under this purpose area should be measured by project-specific metrics above and beyond the performance measures listed on page 22. The application should include a list of the project-specific metrics and how they will demonstrate efficiency improvement and capacity enhancement in the non-DNA discipline. Examples would include, but are not limited to 1.) Number of firearms items analyzed with funds from this program; 2.) Number of evidentiary items put into a comparison database such as the Integrated Automated Fingerprint Identification System (IAFIS) or the National Integrated Ballistic Information Network (NIBIN) with funds from this program; or 3.) Number of database hits from evidentiary items put into that database with funds from this program.

Projects that propose any equipment to be purchased under this purpose area that will be used for cases without a request for DNA analysis must demonstrate that the anticipated increase in the throughput for the specific non-DNA discipline will positively impact turnaround time of DNA cases or have a demonstrated increase in the quality of results obtained from DNA analyses completed after non-DNA analyses. In addition, applications that include equipment purchases to analyze a backlog of cases in a non-DNA discipline should also include a discussion of how federally-funded equipment will be used after the project period has ended and how the equipment will continue to impact the efficiency of DNA analysis.

Applications under Purpose Area 1 may request funds for projects such as the following:

- Purchase equipment to be used to increase the capacity of a non-DNA discipline with an overall demonstrable goal of decreasing DNA analysis turnaround time.

- Hire additional personnel and/or fund overtime to complete non-DNA analyses on cases with a request for DNA analysis.

- Purchase laboratory supplies to complete non-DNA analyses on cases with a request for DNA analysis.

- Purchase equipment that will allow non-DNA analyses to be less destructive to biological material and thus provide higher-quality results of DNA analysis when DNA analyses are conducted after all other forensic testing is complete.

Projects requesting assistance only to process evidence in a non-DNA discipline without also requesting assistance for the forensic biology/DNA section of the laboratory must have a strong justification for not including funding requests for the forensic biology/DNA section, including how funding for the non-DNA section will benefit DNA evidence processing and efficiency.

Purpose Area 2: Building and Improving Laboratory Infrastructure

Competition ID: NIJ-2017-12120

Advancing technologies coupled with the increased demand for forensic analysis may often require laboratories to retrofit existing work areas to make room for newer and additional pieces of equipment. Laboratories may be unable to undertake expensive renovations and the minor, often temporary, fixes employed in those situations may negatively impact DNA turnaround time

and capacity. Increases in demand for paperless tracking systems may also be difficult for agencies to implement since introducing a new information technology (IT) system can be expensive and time consuming.

The goal of Purpose Area 2 is to allow agencies to be able to incorporate new technologies into their laboratory or expand their operations to allow for the continuing demands for forensic analysis by providing assistance for laboratories to build or improve both physical and IT laboratory infrastructure. Building or improving laboratory infrastructure can include capital improvements[8] or the implementation of an information system or technology, with the goal of enhancing capacity or improving the efficiency of the laboratory.

Applications under Purpose Area 2 may request funds for projects such as the following:

- Construction or renovation of facilities designed to increase the capacity of the DNA unit, thus improving the turnaround time for DNA analysis and reducing the number of DNA samples awaiting analysis.

- Procurement, purchase, and implementation of a Laboratory Information Management System (LIMS), modules for existing LIMS, or other record/case management systems.

- Renovation or installation of evidence storage facilities to aid in evidence location and tracking.

Applications submitted Purpose Area 2 are subject to a cash match of at least twenty-five percent (25%). A Purpose Area 2 application that proposes a cash match that exceeds 25% of the total cost of the proposed project may, in appropriate circumstances, be given special consideration in award decisions. See Section B. Federal Award Information for details on cost sharing or matching requirements under this program.

Purpose Area 3: Implementation and Validation of Process Efficiency Projects

Competition ID: NIJ-2017-12121

With law enforcement officers realizing the importance of collecting, preserving, and submitting forensic evidence from both violent and nonviolent crime scenes, there has been a steep increase in submissions of DNA evidence to crime laboratories. Increasing efficiency and enhancing laboratory capacity are critical if laboratories are to meet and eventually exceed the demand for DNA analysis.

Under this purpose area, laboratories may request assistance to conduct process mapping or efficiency studies, implement improvements identified in previous process mapping or efficiency studies. Laboratories may request to implement new equipment, software, or chemistries that will improve laboratory capacity as a result of a process mapping or efficiency study in order to reduce turnaround time, or increase quality of results obtained from forensic analyses. **This purpose area is not designed to research potential process improvements, but to identify**

[8] A capital improvement is generally defined as the addition of a permanent structural change or the restoration of some aspect of a property.

needs through a process mapping or efficiency study and/or to remedy needs previously identified.

Applications submitted under this purpose area must be for specific projects designed to alleviate one or more bottlenecks in forensic processing or analysis. Applications submitted for non-DNA disciplines must demonstrate how implementation of these process improvements will positively impact the efficiency and turnaround time of DNA analysis. Applications submitted under this purpose area must demonstrate that the proposed project is separate and distinct from grants awarded under the DNA CEBR program,[9] the Coverdell Program,[10] or the R&E for Public Labs Program.[11]

Projects under this purpose area should be measured by project-specific metrics above and beyond the performance measures listed on page 22. Any application with non-DNA disciplines incorporated should include a list of project-specific metrics specific to that discipline, and how they will demonstrate efficiency improvement and capacity enhancement in the subject non-DNA discipline, if applicable. For example, a project involving firearms examinations may include metrics such as: 1.) Increase in the number of firearms items analyzed; and 2.) Number of evidentiary items put into NIBIN.

Applications under Purpose Area 3 may request funds for projects such as the following:

- Creation and implementation of a second or third shift in forensic laboratories.

- Contract an outside vendor to conduct a process mapping or efficiency type study, such as a Lean Six Sigma-type efficiency study, of the DNA laboratory. One of the potential benefits from such approaches is highlighted in the following report: Increasing Efficiency of Forensic DNA Casework Using Lean Six Sigma Tools.

- Implementation of process efficiency improvements identified through root cause analysis to address backlogs and bottlenecks in the forensic analysis workflow.

- Implementation of DNA technology and equipment that will increase capacity and efficiency in the forensic DNA process, including a full validation of equipment that was purchased through other programs such as CEBR or Coverdell.

- Implementation of technology and equipment that will increase capacity and efficiency in non-forensic DNA analyses.

[9] http://nij.gov/funding/Documents/solicitations/NIJ-2016-9089.pdf.
[10] http://nij.gov/funding/Documents/solicitations/NIJ-2016-8974.pdf.
[11] http://nij.gov/funding/Documents/solicitations/NIJ-2016-9011.pdf.

Purpose Area 4: Special Projects

Competition ID: NIJ-2017-12122

Projects under this purpose area must be specific projects designed to enhance capacity, improve efficiency, improve the quality of DNA results, or improve services provided by the DNA laboratory.

Since 2003, States have been enacting legislation to increase collection of DNA samples of convicted offenders to include arrestees of certain crimes. Thirty states now have now passed legislation expanding DNA databases to include arrestees.[12] There is a need to expand the capacity of database laboratories to manage the increased collections as a result of enacted legislation.

Applicants may also implement projects designed to analyze cases that are generally not prioritized as highly as violent crime, such as property crimes, but that have been shown to yield positive results. For example, the DNA Field Experiment funded by NIJ in 2005 showed that suspects in property crimes who were identified using DNA evidence had significantly more serious criminal histories than those identified through traditional property crime investigations.[13]

Projects under this purpose area should be measured by unique metrics above and beyond the performance measures listed on page 22. The application should include a list of the unique metrics and how they will demonstrate efficiency improvement and capacity enhancement in the non-DNA disciplines, if applicable. Examples would include, but are not limited to 1.) Increase in the number of database samples analyzed; 2.) Number of evidentiary items put into a comparison database such as IAFIS, NIBIN, or CODIS.

Applications under Purpose Area 4 may request funds for projects such as the following:

- Implementation of new DNA technologies designed to increase the amount of genetic information obtained from compromised human remains, other compromised items of evidence, or evidence that had previously been tested with inconclusive results or that did not produce a CODIS eligible profile.

- Inventory, recording in an electronic tracking system, triage, and analysis of DNA evidence within the crime laboratory.

- Identify and remedy gaps in DNA analysis of previously collected evidence that remains unanalyzed or that had been previously tested with inconclusive results and/or did not produce a CODIS eligible profile.

- Identify and remedy gaps in the collection of lawfully-owed DNA from convicted offenders and/or arrestees to assist with criminal investigations and prosecutions. Projects can include activities associated with the identification, collection, and analysis of lawfully-owed DNA samples (i.e., a DNA sample from a qualifying offender or arrestee

[12] http://dnaresource.com/documents/RecentlyPassedArresteeLaws2016pdf.pdf.
[13] https://www.ncjrs.gov/pdffiles1/nij/224084.pdf

who should have their profile in CODIS [based on the type and time of the offense in relation to applicable state law], but from whom a sample has never been collected, analyzed, and uploaded). Michigan demonstrated the importance of lawfully-owed DNA collections in 2011 when they collected 5,000 lawfully-owed samples and subsequently had CODIS matches to 74 crimes, including 5 murders, 23 rapes, and 3 armed robberies.[14]

- Prepare a data basing laboratory as needed to prepare for enactment of expanded DNA database legislation to include arrestee legislation or expansion of crimes eligible for convicted offender collection. Projects may include equipment purchase and implementation, purchase of laboratory supplies to analyze the samples required by the new legislation, or training of personnel to properly collect and process arrestee samples.

Expungement of profiles: If funded, an applicant that proposes to use any grant funds for arrestee DNA sample collection processes must agree to provide to NIJ (within 60 days of award notification) as a condition of receiving access to grant funds, documentation that demonstrates that the applicant has a procedure in place to—

- Provide written notification of expungement provisions and instructions for requesting expungement to all persons who submit a DNA profile or DNA data for inclusion in NDIS.

- Provide the eligibility criteria for expungement and instructions for requesting expungement on an appropriate public web site.

- Make a determination on all expungement requests not later than 90 days after receipt and provide a written response of the determination to the requesting party.

If this information is available for inclusion with the application, applicants are encouraged to include documentation of procedures regarding expungement of profiles, as described above, with the application for funding.

Also, in addition to any requirements under State (or other applicable) law, States must adhere to applicable federal expungement of records requirements for States described in 42 U.S.C. § 14132(d)(2).

Please note: No profiles generated with funding from this program may be entered into any non-governmental DNA database without prior express written approval from NIJ. All DNA analyses conducted and profiles generated under this program must be maintained pursuant to all applicable federal privacy requirements, including those described in 42 U.S.C. § 14132(b)(3).

The Goals, Objectives and Deliverables are directly related to the performance measures set out in the table in Section D. Application and Submission Information, under "Program Narrative."

[14] Michigan Department of Corrections DNA Profile Collection Completed.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates.
- Integrating evidence into program, practice, and policy decisions within OJP and the field.
- Improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The OJP CrimeSolutions.gov website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

B. Federal Award Information

NIJ expects to make awards of up to $750,000, with an estimated total amount awarded of up to $4.8 million. NIJ expects to make awards for a 36-month period of performance, to begin on January 1, 2018.

NIJ may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds, and to any modifications or additional requirements that may be imposed by law.

Type of Award

NIJ expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See Administrative, National Policy, and Other Legal Requirements, under Section F. Federal Award Administration Information, for a brief discussion of what may constitute substantial federal involvement.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities[15]) must, as described in the Part 200 Uniform Requirements[16] as set out at 2 C.F.R. 200.303:

(a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.

(c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations, and the terms and conditions of Federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available here.

Budget Information

(See What an Application Should Include: Budget and Associated Documentation.)

In developing requests for funding under this program, applicants should consider whether, if awarded, funds requested can be timely obligated and expended within required timeframes. All obligations properly incurred by the end of the federal award must be liquidated no later than 90 days after the end date of the award. If your award has been properly obligated, you will have the full liquidation period for remaining expenditures. The liquidation period exists to allow project time to receive ordered goods and make final payments. No new obligations may be made during the liquidation period. Disbursements made by recipients or subrecipients after the

[15] For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.
[16] The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

end date but within the liquidation period must have documentation to demonstrate that the obligation occurred before the end date of the award.

This program is not intended as a supplement to awards made under the DNA Capacity Enhancement and Backlog Reduction Formula program in the current or previous fiscal years. All expenses must be used for the proposed project and must agree with the level of effort of the project.

Note: Procurements under awards made under this program are subject to the "Procurement Standards" set forth in 2 C.F.R. 200 ("Subpart D — Post Federal Award Requirements") — including the provisions relating to competition — and other applicable law.

The Procurement Standards, at 2 C.F.R. §200.317 through §200.326, detail requirements and restrictions imposed on non-federal entities (i.e., recipients and subrecipients) that use federal assistance funds to procure property or services needed to carry out the grant-funded project.

Recipients and subrecipients must conduct all procurement transactions in a manner providing full and open competition consistent with the Procurement Standards. Contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements.

Sole Source procurement (or, noncompetitive procurement) should be used only when use of competitive solicitation procedures like sealed bids, or competitive proposals is not applicable to the requirements or is impracticable. All Sole Source procurements in excess of the Simplified Acquisition Threshold set in accordance with 41 U.S.C. 1908 (currently set at $150,000) must receive advance authorization from the grant-making agency component to use a non-competitive approach for the procurement before entering into the contract.

What will not be funded:

Applications that are not responsive to the solicitation will not be considered for funding. This includes:

- Applications that do not clearly identify with one of the four (4) allowable purpose areas on page 5.
- Applications for assistance in non-DNA disciplines that do not demonstrate how the project would positively impact the turnaround time, capacity, or quality of DNA analysis.
- Applications with the sole purpose of analyzing casework samples in non-DNA disciplines without DNA analysis requests that do not provide a justification that includes anticipated benefits for capacity enhancement or turnaround time improvements in the DNA unit.
- Applications in the area of digital evidence or digital forensics. Digital evidence includes information stored or transmitted in binary form that may be relied on in court. It is typically found on computer hard drives, mobile phones, personal digital assistants, CDs/DVDs, flash memory equipment and other electronic devices. Digital evidence is commonly associated with electronic crime (e.g., child pornography or

credit card fraud); however, digital evidence can also be used as forensic evidence in other types of crimes.[17]

- Applications under Purpose Area 2 that do not provide sufficient documentation to demonstrate that the minimum 25% match requirement has been met.

Expenses that are not permitted for awards under this program, include the following:

1. Travel costs and conference fees for general attendance at conferences including, but not limited to, the American Academy of Forensic Sciences (AAFS) annual meeting, the International Symposium for Human Identification (ISHI), any regional Association for Forensic Scientists meeting, or Bode conferences. *Projects may include costs for travel and training specific to the proposed project only.*

2. Direct administrative expenses that exceed three (3) percent of the federal portion of the award.

3. Indirect costs.

4. General office supplies and equipment, including but not limited to, paper, pens, toner, printer cartridges, office/modular furniture, chairs, tables, floor mats, "basic supplies" etc.

5. Maintenance and service contracts for existing laboratory equipment, software, or Laboratory Information Management Systems (LIMS).

6. Work that is funded under another federal award. Recipients and subrecipients are prohibited from commingling funds on either a program-by-program or project-by-project basis.

7. Costs associated with conducting conferences. A conference is a symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such a meeting. A meeting where a gathering discusses general matters as part of a normal course of doing business is not considered a conference.

8. Costs incurred outside of the project period of performance.

9. Executives, such as the president or executive director of an organization, may not be reimbursed for overtime or compensatory overtime under grants and cooperative agreements.

Program Income

If funded, applicants must declare program income on quarterly and final Federal Financial Reports (SF-425) if your laboratory charges a fee for services.

[17] www.nij.gov/topics/forensics/evidence/digital/welcome.htm.

Program income means gross income earned by the non-federal entity that is directly generated by a supported activity or earned as a result of the federal award during the period of performance. See 2 C.F.R. § 200.80 (definition of "Program Income"). Non-federal entities are encouraged to earn income to defray program costs where appropriate. See 2 C.F.R. § 200.307(a).

Cost Sharing or Match Requirement (Purpose Areas 1, 3, and 4 only)

This solicitation does not require a match for applications under Purpose areas 1, 3, or 4. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

Cost Sharing or Match Requirement (cash only) (Purpose Area 2 only)

Federal funds awarded under this solicitation may not cover more than **75%** of the total costs of the project being funded **under Purpose Area 2**. An applicant must identify the source of the **minimum 25%** non-federal portion[18] of the total project costs and how it will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. ("Match" funds may be used only for purposes that would be allowable for the federal funds.) Recipients must satisfy this match requirement with cash only. The formula for calculating match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

Required Recipient's Share Percentage x Adjusted Project Cost = Required Match

Example: 90%/10% match requirement: for a federal award amount of $500,000, calculate match as follows:

$\frac{\$500,000}{90\%} = \$555,555$ 10% x $555,555 = $55,555 match

Example: 75%/25% match requirement: for a federal award amount of $350,000, calculate match as follows:

$\frac{\$350,000}{75\%} = \$466,667$ 25% x $466,667 = $116,667 match

Example: 50% match requirement: for a federal award amount of $350,000, calculate match as follows:

[18] Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian "self-determination contract") to satisfy all or part of a required "non-federal" match.

$\frac{\$350,000}{50\%} = \$700,000$ 50% x $700,000 = $350,000 match

For additional information cost sharing and match, see the DOJ Grants Financial Guide.

Pre-Agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than $250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.[19] The 2017 salary table for SES employees is available at the Office of Personnel Management website. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address — in the context of the work the individual would do under the award — the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

[19] OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference-, meeting-, and training- costs for cooperative agreement recipients, as well as some conference-, meeting-, and training- costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the OJP Funding Resource Center.

C. Eligibility Information

For eligibility information, see the title page.

For information on cost sharing or match requirements, see Section B. Federal Award Information.

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that NIJ has designated to be critical, will neither proceed to peer review, nor receive further consideration. **For this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, Resumes/Curriculum Vitae of Key Personnel, Eligibility Statement, Proof of Laboratory Accreditation, Certification of Non-Supplanting, and Declaration regarding**

whether or not the laboratory charges fees for services. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under How to Apply (below) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Résumés") for all attachments. Also, OJP recommends that applicants include résumés in a single file.

1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP recipients, when completing the field for "Legal Name" should use the same legal name that appears on the prior year award document; this legal name is also the legal name stored in OJP's financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active OJP award(s) must ensure that its GMS profile is current. If an applicant's profile is not current, it should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant must enter its official legal name and address in box 5 and its EIN in box 6 of the SF-424. An applicant is to attach official legal documentation to its application (e.g., articles of incorporation, "501(c)(3)" status documentation, etc.) to confirm the applicant's legal name, address, and EIN entered into the SF-424.

Intergovernmental Review: This solicitation ("funding opportunity") **is** subject to Executive Order 12372. An applicant may find the names and addresses of State Single Points of Contact (SPOCs) at the following website: www.whitehouse.gov/omb/grants_spoc/. If the State appears on the SPOC list, the applicant must contact the State SPOC to find out about, and comply with, the State's process under E.O. 12372. In completing the SF-424, an applicant whose State appears on the SPOC list is to make the appropriate selection in response to question 19 once the applicant has complied with its State E.O. 12372 process. (An applicant whose State does not appear on the SPOC list should answer question 19 by selecting the response that the "Program is subject to E.O. 12372 but has not been selected by the State for review.")

2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be —

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

3. Program Narrative

The program narrative section of the application should not exceed 15 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 15-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 15-page limit. If the program narrative fails to comply with these length-related restrictions, NIJ may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative:[20]

a. Title Page (not counted against the 15-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, purpose area under which the application is being submitted, key words, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant organization and the Primary Point of Contact (POC).

b. Table of Contents and Figures (not counted against the 15-page program narrative limit).

c. Main body.

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:[21]

- Eligibility Statements:
  - Information or documentation that any crime laboratory that would receive funding under this program 1.) is a State designated existing crime laboratory that conducts analysis of forensic DNA samples and/or DNA database

[20] For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under Section D. Application and Submission Information.
[21] For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under Section D. Application and Submission Information.

samples; 2.) Participates in external audits, not less than once every two (2) years, that demonstrate compliance with the requirements of the QAS established by the Director of the FBI; and 3.) Is accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community.

- Statement or documentation that all eligible DNA profiles obtained with funding from this program will be entered into the Combined DNA Index System (CODIS) and, where applicable, uploaded to the National DNA Index System (NDIS).

- Statement that all DNA analysis performed under this program will be maintained under applicable federal privacy requirements.

- Statement acknowledging that any crime laboratory that would receive funding under this program must follow NDIS DNA Data Acceptance Standards for all profiles uploaded to NDIS.

- (Purpose Area 2 applications only): Demonstration, including through discussion of applicant's plan and provision of any pertinent, supporting documentation, of how the applicant will meet the minimum 25% matching requirement for Purpose Area 2, if funded.

- Statement of the Problem.

- Project Design and Implementation.

- Expected Outcomes/Potential Impact.

- Capabilities/Competencies.

- Other – Part 1 violent crimes data and discussion of geographical areas served and population (numbers) impacted.

- Plan for Collecting the Data Required for this Solicitation's Performance Measures

  OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see "General Information about Post-Federal Award Reporting Requirements" in Section F. Federal Award Administration Information). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in Section A. Program Description.

  Applications should also include any project-specific measures that the applicant plans on collecting and reporting on with regard to its project and the plan on how it will collect that data. The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under "Data Recipient Provides," should it receive funding.

Performance Measures:

Objective	Performance Measure(s)	Data Recipient Provides
Improve the DNA analysis capacity of existing crime laboratories that conduct forensic DNA analysis.	Percent Increase in DNA analysis throughput for the laboratory.	Average number of forensic DNA samples analyzed per analyst per month at the beginning of the award period. Average number of forensic DNA samples analyzed per analyst per month at the end of the reporting period.
	Percent Reduction in response time for requests.	Average number of days between the submission of a request, by type, for forensic biology/DNA analysis to the laboratory and the delivery of the test results at the beginning of the award period. Average number of days between the submission of a request, by type, for forensic biology/DNA analysis to the laboratory and the delivery of the test results at the end of the reporting period.
Reduce backlogged forensic DNA casework in crime laboratories.	Percent decrease in DNA backlog.[22]	Number of backlogged forensic biology/DNA cases at the beginning of the award period. Number of backlogged forensic biology/DNA cases, at the end of the reporting period.
Improve the capacity of laboratories that conduct DNA analysis on convicted offender and/or arrestee DNA samples (DNA database samples).	Percent increase in DNA analysis throughput for the laboratory.	Average number of DNA database samples analyzed per analyst per month at the beginning of the award period. Average number of DNA database samples analyzed per analyst per month at the end of the reporting period.
	Percent Reduction in response time for requests.	Average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the beginning of the award period. Average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the end of the award period.
Reduce the backlog of convicted offender and/or arrestee DNA samples (DNA database samples).	Percent decrease in DNA backlog.[23]	Number of backlogged DNA database samples at the beginning of the award period. Number of backlogged DNA database samples at the end of the award period.

[22] A backlogged case is defined as a forensic biology/DNA case that has not been completed within 30 days of receipt in the laboratory.
[23] A backlogged DNA database sample is defined as a DNA database sample that has not been uploaded to CODIS within 30 days of receipt in the laboratory.

Within these sections, the program narrative should address:

- Purpose, goals, and objectives.
- Description of the issue.
- Review of relevant literature.
- Detailed description of project design and methods.
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project).

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements, likely do not constitute "research." Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 ("Protection of Human Subjects").

Research, for purposes of human subjects protection for OJP-funded programs, is defined as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the "Research and the protection of human subjects" section of the "Requirements related to Research" web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available through the OJP Funding Resource Center. Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that web page.

d. Appendices (not counted against the 15-page program narrative limit) include:

- Bibliography/references.
- Timelines and project plans with milestones.

- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.

- Organizational chart of the applicant agency and all proposed collaborators involved in the project. Include project related staffing plans and narratives for each organizational chart, proposed new hires, and any anticipated staffing changes related to the project funding if received.

- List of key personnel.

- Curriculum vitae or resumes of the all key personnel. In addition, curriculum vitae, resumes, or biographical sketches of all known others who will be significantly involved in substantive aspects of the project.

- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipients organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. Applicants should use the "Proposed Project Staff, Affiliation, and Roles" form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this listing.

- List of any previous and current NIJ awards to applicant organization, including the NIJ-assigned award numbers and a brief description of any products that resulted in whole or in part from work funded under the NIJ award(s).

- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide.

b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete,

cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

Cost Sharing or Match Requirement Documentation (Purpose Area 2 applications only)

The budget detail worksheet and budget narrative must support the applicant's overall demonstration of how the applicant, if funded, will meet the minimum 25% match required for applications submitted under Purpose Area 2.

c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether — for purposes of federal grants administrative requirements — a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement — for

purposes of federal grants administrative requirements — is a “subaward” or is instead a procurement “contract” under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the OJP Part 200 Uniform Requirements web page.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should— (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over $150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that — for purposes of federal grants administrative requirements — is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold — currently, $150,000 — a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends — without competition — to enter into a procurement "contract" that would exceed $150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the DOJ Grants Financial Guide.

d. Pre-Agreement Costs

For information on pre-agreement costs, see Section B. Federal Award Information.

5. Indirect Cost Rate Agreement

Indirect costs are not permitted under this program.

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire, as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated "high-risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high-risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high-risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high-risk.
- The date the applicant was designated high-risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered "high-risk" by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL). An applicant that does not expend any funds for lobbying activities is to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

9. Additional Attachments

a. Proof of DNA Laboratory Accreditation

Acceptable types of documentation of current accreditation include: an electronic (scanned) copy of the current accreditation certificate(s), a digital photograph of the current accreditation certificate(s), or a letter from the accrediting body that includes the certificate number. Additionally, if a certificate references another document that contains key information on the type or scope of the accreditation, provide a copy of that supplemental documentation. Independent accrediting or certifying organizations may include the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD-LAB), Forensic Quality Services (FQS), the American Association for Laboratory Accreditation (A2LA), or other appropriate accrediting bodies. Applicants should list the name of their accrediting body in the key words on the title page.

b. Certification of Non-supplanting

Applicants should include a written certification from the applicant, at the time of application submittal into GMS and/or Grants.gov, on agency letterhead from the Authorized Representative that "***Federal funds will be used to supplement existing State and local funds for program activities and will not supplant those funds that have been appropriated for the same purpose.***"

c. Declaration regarding whether or not the laboratory charges fees for services (see page 15).

d. Applicant Disclosure of Pending Applications

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also

applications for subawards of federal funds (e.g., applications to State agencies that will subaward ("subgrant") federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or State funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable federal or State funding agency.

Federal or State Funding Agency	**Solicitation Name/Project Name**	**Name/Phone/Email for Point of Contact at Federal or State Funding Agency**
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

SAMPLE

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application."

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800**-**518**-**4726** or **606–545–5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments: Grants.gov has two categories of files for attachments: "mandatory" and "optional." OJP receives all files attached in both categories. Please ensure that all required documents are attached in either Grants.gov category.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (__)	Comma (,)	Semicolon (;)	Apostrophe (')
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign ($)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	**Applicants must use the "&" format in place of the ampersand (&) when using XML format for documents.**		

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip." GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at https://apply07.grants.gov/apply/IndCPRegister to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

1. **Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

   A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

2. **Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

   An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

   Information about SAM registration procedures can be accessed at www.sam.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations

and other entities, go to https://apply07.grants.gov/apply/OrcRegister. Individuals registering with Grants.gov should go to http://www.grants.gov/web/grants/applicants/individual-registration.html.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") number for this solicitation is CFDA 16.741, titled "DNA Backlog Reduction Program," and the funding opportunity number is NIJ-2017-11581.

6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application

   - **Purpose Area 1**: Multidisciplinary Analysis of Evidence — ***NIJ-2017-12100***.
   - **Purpose Area 2**: Building and Improving Laboratory Infrastructure — ***NIJ-2017-12120***.
   - **Purpose Area 3**: Implementation and Validation of Process Efficiency Projects — ***NIJ-2017-12121***.
   - **Purpose Area 4**: Special Projects — ***NIJ-2017-12122***.

7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on March 13, 2017.

Click here for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline or the SAM Help Desk (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center web page.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

Statement of the Problem (Understanding of the problem and its importance) (10%)

- Demonstrated understanding of the problems that exist in forensic DNA laboratories.
- Demonstrated awareness of the current state of DNA backlogs and DNA analysis capacity.

- Impact of funding on the problems associated with DNA backlogs and DNA analysis capacity.

Project Design and Implementation (Quality and technical merit) (40%)

- Soundness of methods and approach to addressing the stated objectives of the proposed project. The overall strategy should be well reasoned and appropriate to accomplish the goals of the project.

- Feasibility of proposed project.

- Awareness of pitfalls of the proposed project design and actions to minimize and/or mitigate them.

- Innovation and creativity (when appropriate).

- Affordability and cost-effectiveness of proposed approach.

Expected Outcomes/Potential Impact (25%)

- Understanding of how the project will lead to:

    - Increased capacity to analyze forensic and database DNA evidence samples.

    - Reduction in the number of DNA samples awaiting testing.

    - Increased number of profiles in CODIS.

    - Increased number of CODIS profile matches.

- Potential for significantly improved understanding of the stated problem. If the goals of the project are achieved, how will scientific knowledge, technical capability, and/or forensic science practice in the criminal justice system be improved?

- Likelihood that the project will exert a sustained, powerful influence on the forensic science field(s) related to criminal justice.

- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem. How will successful completion change the concepts, methods, technologies, treatments, or services that drive the forensic science field as it relates to criminal justice? How will a successful project address the identified criminal justice or forensic science problem and associated critical barriers to progress?

- Potential to increase the awareness of best practices for the analysis of physical evidence in the forensic science community.

Capabilities and Competencies (15%)

- Potential for resolving the deficiencies in addressing DNA backlogs and DNA analysis capacity.

- Potential for significant advances in resolving DNA backlogs and DNA analysis capacity.

- Qualifications and experience of proposed project staff (including all individuals (and organizations) identified in the application who will be significantly involved in substantive aspects of the application).

- Demonstrated ability of the applicant organization to manage the effort.

- Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project

- Strength of the environment (e.g., institutional and jurisdictional support, equipment and other physical resources, or collaborative arrangements) in which the work will be done and its contribution to the probability of success.

Plan for Collecting the Data Required for this Solicitation's Performance Measures (Relevance to policy and practice) (10%)

- Strength of the collection plan.

- Understanding of the performance measures to be collected and how the measures will demonstrate the anticipated increases in capacity, decreases in turnaround time and backlog.

- Inclusion of appropriate project-specific measures for the proposed project and strength of the collection, reporting, and analysis of these unique measures.

In addition, peer reviewers will consider and may comment on the following additional items in the context of technical merit and the projected project impact on laboratory efficiency and capacity enhancement.

Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.[24]

- Total cost of the project relative to the perceived benefit (cost effectiveness).

- Appropriateness of the budget relative to the level of effort.

- Use of existing resources to conserve costs.

- Alignment with proposed project activities.

[24] Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- (Purpose Area 2 applications only that propose match in excess of the 25% minimum) Application demonstrates sustainable commitment to project that offers the potential for a greater overall projected impact from the project.

Other

- The number of Uniform Crime Report (UCR) Part 1 Violent Crimes[25] reported to the FBI for 2014.[26]

- Geographical areas impacted.

- Number of people potentially impacted (i.e. population of the geographical area served).

Review Process

OJP is committed to ensuring a fair and open process for making awards. NIJ reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.

- The application must request funding within programmatic funding constraints (if applicable).

- The application must be responsive to the scope of the solicitation.

- The application must include all items designated as "critical elements."

- The applicant must not be identified in SAM as excluded from receiving federal awards.

For a list of the critical elements for this solicitation, see "What an Application Should Include" under Section D. Application and Submission Information.

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation's review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers' ratings and any resulting

[25] UCR Part 1 Violent Crimes statistics are published on the FBI website a https://ucr.fbi.gov/crime-in-the-u.s/2014/crime-in-the-u.s.-2014/tables/table-5.

[26] Although cases of violent crime against the person are expected to be the priority for forensic casework conducted under this solicitation, States and units of local government may use FY 2017 program funds to audit, collect, process, record, screen, and analyze any criminal forensic DNA sample awaiting analysis.

recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles. In addition to peer review and the considerations listed above, OJP will consider the percentage of match proposed in an application submitted under Purpose Area 2 if it exceeds the minimum threshold of 25%.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed $150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as –

1. Applicant financial stability and fiscal integrity.

2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.

3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.

4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.

5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and NIJ recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards," available in the OJP Funding Resource Center. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.

- Standard Assurances.

Applicants may view these documents in the Apply section of the OJP Funding Resource Center.

The web pages accessible through the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, NIJ expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the "substantial federal involvement" in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the "substantial federal involvement" in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables described in Section A. Program Description, any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed $500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at http://ojp.gov/funding/FAPIIS.htm.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in Section D. Application and Submission Information, under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

In addition to the performance metrics, ALL projects awardees will be required to provide to NIJ details about the impact and progress of the project efforts in a narrative report. The report should include information on the level of effort provided, the progress made, the level of staffing, and amount of time provided. Successes and pitfalls as well as any information NIJ can use towards the learning about the project, the processes, issues, and results should also be provided. Progress report narratives and metric data will be required semi-annually.

All progress reports submitted for awards made under this program must include documentation that supports all metrics reported. Acceptable documentation should be generated from the records systems in use in the laboratory with all identifiable information redacted. No

documentation should contain case-specific information or Personally Identifiable Information (PII) about the cases. Supporting documentation must be for the corresponding reporting period and should provide detailed information on how the reported metrics were calculated. If the process by which each metric was calculated is not apparent in the documentation, a step-by-step summary should be submitted with the documentation so that reviewers can understand the process to calculate each metric. Examples of acceptable supporting documentation include, but are not limited to, LIMS printouts, Access database screen shots, screenshots of other electronic databases, or Excel files. If the documentation is not generated electronically, hard copies of the documents can be scanned and attached to the progress reports in GMS.

G. Federal Awarding Agency Contact(s)

For NCJRS contact(s), on behalf of OJP, see page 2.

For contact information for Grants.gov, see page 2.

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify — quite precisely — any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojppeerreview@lmsolas.com. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

FY 2017 Forensic DNA Efficiency Improvement and Capacity Enhancement Program

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:
_____ Acquire a DUNS Number (see page 31)
_____ Acquire or renew registration with SAM (see page 31)
To Register with Grants.gov:
_____ Acquire AOR and Grants.gov username/password (see page 31)
_____ Acquire AOR confirmation from the E-Biz POC (see page 32)
To Find Funding Opportunity:
_____ Search for the Funding Opportunity on Grants.gov (see page 32)
_____ Select the correct Competition ID (see page 32)
_____ Download Funding Opportunity and Application Package (see page 32)
_____ Sign up for Grants.gov email notifications (optional) (see page 30)
_____ Read Important Notice: Applying for Grants in Grants.gov
_____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 18)
After Application Submission, *Receive Grants.gov Email Notifications That:*
_____ (1) Application has been received,
_____ (2) Application has either been successfully validated or rejected with errors (see page 32)
If No Grants.gov Receipt, and Validation or Error Notifications are Received:
_____ See NCJRS contact information on the title page

Overview of Post-Award Legal Requirements:

_____ Review the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2017 Awards" in the OJP Funding Resource Center.

Eligibility Requirement: See the title page

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 19)
_____ Intergovernmental Review (see page 19)
_____ Project Abstract (see page 19)
_____ Program Narrative (required) (see page 20)
_____ CVs of Key Personnel (required) (see page 24)
_____ Budget Detail Worksheet (required) (see page 24)
_____ Budget Narrative (see page 24)
_____ Tribal Authorizing Resolution (if applicable) (see page 27)
_____ Financial Management and System of Internal Controls Questionnaire (see page 27)
_____ Disclosure of Lobbying Activities (SF-LLL) (see page 28)

_____ Additional Attachments

- _____ Proof of Laboratory Accreditation (see page 28)
- _____ Certification of Non-Supplanting (see page 28)
- _____ Declaration regarding whether or not the laboratory charges fees for services (see page 15)
- _____ Applicant Disclosure of Pending Applications (see page 28)

_____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 17)